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## **ANALYTICAL SUPPORT TOOLS FOR SUSTAINABLE FUTURES**

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**Aliye Ahu Akgün** is researcher at the Istanbul Technical University Department of Urban and Regional Planning. Her main research interests cover urban and regional planning, sustainable rural development, suburbanisation, gated communities and creativity. In recent years, she has focused her research in particular on sustainable rural development. Her current tasks cover participating in both national and international projects and diverse teaching activities. She is a member of the Regional Science Association International and the Regional Studies Association.

**Eveline van Leeuwen** graduated Wageningen University and went to the VU University in Amsterdam to work as a junior researcher on mainly EU-funded projects. At the same time she started working on her dissertation about towns' importance for the rural economy. The final chapter of her thesis, in which micro-and macro approaches are integrated, was awarded with the best paper award for young scientists (Epainos Prize) at the ERSA conference in Liverpool, 2008. Her current work consist of participating in several EU-funded projects about European agriculture (AG2020), different dimensions of sustainability (SMILE), and e-services for advanced access to cultural heritage in cities (ISAAC). In addition, she works on a nationally funded project about adaptation to climate change. Her main interests lie in combining existing operational methods, such as SAMs and microsimulation and adding (a stronger) spatial component to this framework. In addition, she is interested in rural and regional development issues. Apart from a strong research task, she also has various teaching activities.

**Peter Nijkamp** is Professor in Regional and Urban Economics and in Economic Geography at the Free University, Amsterdam. His main research interests cover plan evaluation, multicriteria analysis, regional and urban planning, transport systems analysis, mathematical modelling, technological innovation, and resource management. In previous years he has focused his research in particular on quantitative methods for policy analysis, as well as on behavioural analysis of economic agents. He has a broad expertise in the area of public policy, services planning, infrastructure management and environmental protection. In all these fields he has published several books and numerous articles. He is a member on the editorial boards of more than 30 journals. He has been visiting professor in many universities all over the world. He is a past president of the European Regional Science Association and of the Regional Science Association International. He is also Fellow of the Royal Netherlands Academy of Sciences, and is

the immediate previous vice-president of this organization. Since June 2002 he has been serving as president of the governing board of the Netherlands Research Council (NWO). In addition, he is a previous president of the European Heads of Research Councils (EUROHORCs). In 1996, he was awarded the most prestigious scientific prize in the Netherlands, the Spinoza award.

## **Abstract**

The aim of this study is to assess the usefulness of analytical tools for policy evaluation. The study focuses on a multi-method integrated toolkit for sustainability assessment, the so-called SMILE toolkit<sup>1</sup>. This toolkit is developed to provide salient features that are required for monitoring policy-making in a spatial-environmental context. The sustainable development perspective is rather difficult to operationalise due to its dynamism and its multi-dimensionality. Therefore, in this study, we aim to assess the usefulness of the SMILE toolkit for sustainable development issues on the basis of a systemic set of critical factors for sustainable development. We will demonstrate the usefulness of the toolkit in order to create awareness among policymakers on the critical factors for sustainable development in the future.

**JEL Classification:** R19, Q01

**Keywords:** sustainable development, multi-method evaluation toolkit

## **1 INTRODUCTION**

Sustainability is the ability to maintain economic-ecological dynamism in a complex spatial-environmental system and to remain viable and resilient in perpetuity. Therefore, sustainable development is the development through which continuity of settlements and environments is ensured, while increasing the well-being of inhabitants and offering a desirable ‘milieu’ for new economic activities. Sustainable futures are the desired outcomes of many policy evaluations and strategic planning processes. These futures can be achieved only by communication, implementation and monitoring of these policies in a systemic, orchestrated and disciplined manner (Eppler and Platts, 2009). A way to cope with this challenge is the visualization and graphic representation of the current situations and future trends, so as to build up strategic and/or early-warning scenarios for pro-active policies.

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<sup>1</sup>The SMILE toolkit consists of the integration of three evaluation frameworks developed within an EU-funded consortium called ‘Development and Comparison of Sustainability’ (DECOIN) and further applied within the follow-up consortium ‘Synergies in Multi-Scale Inter-Linkages of Eco-social systems’ (SMILE).

As sustainable development and related policies are complex in nature, a systemic approach may offer a practical frame of reference. In general, a systems approach aims at portraying the processes and relationships in a complex system that encompass various components which are linked together by means of functional, technical, institutional or behavioural linkages (Harvey, 1969). Although this systemic approach helps to present the current situation and trends, not every stakeholder is capable of understanding the complex outcomes of such solutions, as they are often not experts nor researchers, but rather decision-makers or action groups. Therefore, an understandable presentation is very important if researchers want their outcomes to be effectively used in the real world.

In these circumstances, the outcomes of analytical tools used for policy evaluation play an important role in explaining how to design relevant policies and strategic solutions. In the literature, regarding the strength of visual outputs, facilitating a synthesis (Vessey, 1991), enabling the development of new perspectives (De Bono, 1973) and better comparisons (Lurie and Mason, 2007), integrating different perspectives (DiMicco et al., 2004) and creating involvement and engagement (Buzan, 1995 and Huff, 1990) are often stressed (for more details see Eppler and Platts, 2009).

In this study we will focus on the above mentioned reporting and visualization tools with the aim of assessing their usefulness. In this context, the so-called SMILE toolkit is basically a multi-method integrated toolkit. It consists of the integration of three evaluation frameworks, viz. Advanced Sustainability Analysis (ASA), Sustainability Multi-criteria Multi-scale Assessment (SUMMA), and Multi-Scale Integrated Analysis of Societal and Ecosystem Metabolism (MSIASEM). More details on these various approaches are contained in Section 3 of the present paper. The toolkit is developed to provide salient features that are required for monitoring policy-making on the basis of the analysis of the different dimensions of sustainability and for investigating trade-offs and synergies between different aspects of sustainable development. Clearly, the sustainable development perspective is rather difficult to operationalize due to its dynamism and its multi-dimensionality. Therefore, we will investigate the usefulness of this toolkit in helping to better understand the dynamism/new trends in relation to different dimensions of sustainability. To reach our research aim, we present an operational method that uses critical factors of sustainable development when determining the toolkit to be processed by means of an outranking method. It is basically an impact structure matrix which reflects the impacts of policy measures (Nijkamp, 1983).

During our evaluation, we employ the success and failure factors of the toolkit and the sustainability factors defined in a previous study (Akgün et al., 2011).

In this introductory section, we have highlighted the importance and usefulness of reporting and visualization tools for policy evaluation. In the following section, we will present the instrument that we are interested in this study in order to assess the usefulness of reporting tools. In Section 3, we assess this usefulness, the results of our findings by using the so-called impact matrix. The study concludes by discussing which are the most important factors to increase the usefulness of the analytical tools.

## **2 CRITICAL FACTORS OF SUSTAINABLE DEVELOPMENT**

Sustainability has been the subject of intense discourse at a conceptual level, but unfortunately it has not been treated so often in operational contexts. Here, we offer a systemic operational contribution through the use of case studies, in which the so-called ‘Pentagon model’ is used as a methodological vehicle.

The ‘Pentagon concept’ has been developed and used in systems thinking/evaluation in case of a multidimensional complexity (Nijkamp, 2008). In the literature, there are several applications of the Pentagon model which have demonstrated its methodological power and empirical validity in various case studies. The Pentagon approach has amongst others been applied in several policy studies in recent decades, in order to assess the critical success/ failure factors of a policy (see, e.g. Nijkamp et al., 1994; Nijkamp and Pepping, 1998; Capello et al., 1999; Nijkamp and Yim, 2001; Nijkamp, 2008). Essentially, this model aims to map out, in a structured manner, the various forces that represent the critical factors that are essential contributors to the performance of a given policy (Nijkamp and Pepping, 1998). What this rather stylized approach does is to allow some of the key issues of the policies under consideration to be discussed in a systemic way. It highlights key dimensions in decision making and also enables us to look at those areas where policy initiatives can influence the way in which sustainable development is enhanced (Button, 1998). It is a systematic evaluation to determine the (most) critical success factors and sub-factors in sustainable development policies.

Success conditions refer to the necessary – though not sufficient – conditions that are to be fulfilled to meet *a priori* given objectives concerning sustainable development, such as economic performance, social cohesion, or ecological quality. The failure conditions are to be interpreted in a

different way. They refer to those factors that drive the performance of a system towards levels that are unacceptable from the perspective of a priori specified objectives. By determining the critical factors, the Pentagon model is formed by a Pentagon prism which represents the interdependent between the necessary – though not yet sufficient – conditions for successful policies (see Figure 1). The original Pentagon model, as it was when first developed more than a decade ago, distinguishes five key factors, viz. software (e.g. knowledge), hardware (e.g. research facilities), finware (e.g. financial support), ecoware (e.g. environmental amenities) and orgware (e.g. institutional support systems). These pentagon factors can be applied to both the supply side and the demand side of economic-ecological-technological systems.

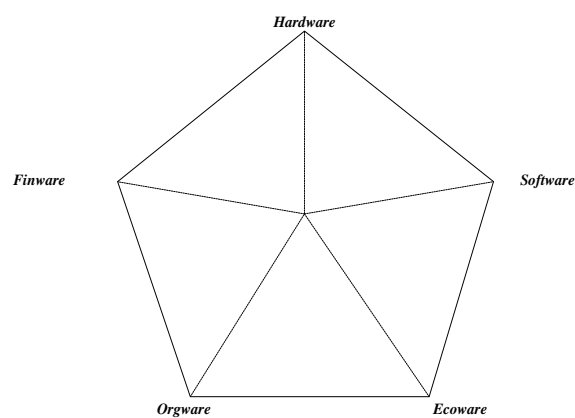


Figure 1. The original Pentagon prism comprising necessary conditions for a successful policy

The pentagon approach offers a flexible methodology and has been used in various studies, viz. the evaluation of energy policies (Nijkamp and Pepping, 1998; Capello et al., 1999); the quality of the urban economy (Nijkamp, 2008); sustainable rural development (Gülümser, 2009). Each pentagon model is generated from the original stylized pentagon model, so that critical factors of different systems are developed on the basis of necessary achievement conditions. In addition, researchers have adjusted the original model to fit any new topic under investigation. For instance, Capello and her colleagues in 1999 and Nijkamp and Pepping in 1998 used the original Pentagon factors, while Nijkamp in 2008 adjusted these factors to assess the highest possible quality of an urban economy, where the Pentagon factors used were: economic capital; ecological resources; technological systems; geographical infrastructure; and social suprastructure. In addition, a most recent example of the model published by Gülümser in 2009 to underpin sustainable rural development is based on the necessary conditions defined for sustainable development in the Brundtland Report in 1987, and used systems thinking with regard to the physical system, social system, economic system, locality system, and creative system.

In conclusion, Pentagon models applied in various studies show the validity of the model for systems thinking. In other words, such a model offers a valid framework for analysing different problems of an overall system by identifying drivers of the whole system through the identification and analysis of its critical components. The Pentagon model can be formulated and operationalized as the result of in-depth questionnaires or interviews carried out among stakeholders in relevant case-studies: this has been applied in the above mentioned project.

The original conceptual Pentagon framework can be seen as the starting point for the development of our basic model in the SMILE framework. In developing specific stakeholder-based models, we start our systemic approach on the basis of five critical drivers of a system. First, with the help of a literature review for the case concerned and the expertise of researchers with specific knowledge about the case studies, a basic SMILE Pentagon model has been formulated (Figure 2). In a second step, the model is validated and improved by employing information and insights from (local) stakeholders or experts. This is done by extensive interviews and sometimes by additional questionnaires.

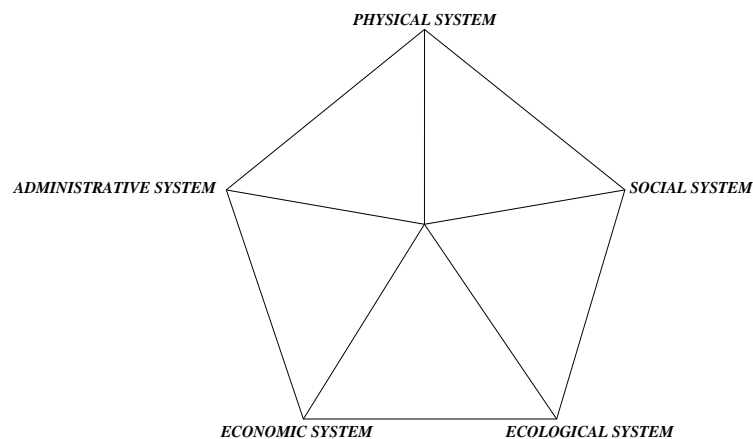


Figure 2. The pentagon model of sustainable development

The final stakeholder-specific Pentagon model comprising five key forces can be explained as follows:

- The Physical system represents the quality of the human-made environment through which well-being and living standards of people can be determined. It includes aspects like quality of the built environment, infrastructure, accessibility, and the basic level of technology and innovation. Its sub-factors are:
  - Built environment: This is related to the human-made physical surroundings that are necessary for the execution of all normal human activities (living, working, etc.);

- Technology: This refers to (additional) technological systems and development in the related sector(s);
- Infrastructure: This indicator refers to the technical infrastructure, e.g. roads, sewage, water, electricity, etc. In addition, it also refers to Internet and telecommunication infrastructure;
- Accessibility: This is related to the availability and costs of different modes of transportation.
- The Social system is related to the quality of social networks in the case-study area. This consists of the basic level of education and training, but also of coherence, interaction, and the openness of society to new things. The sub-factors are:
  - Social capital: This indicator deals with the basic quality of the social system, e.g. the level of education and skills, but also the gender, age and ethnic distribution;
  - Openness: This is the level of tolerance/interest of citizens with regard to new suggestions and concepts in relation to sustainable development;
  - Participation: This refers to the level of involvement of inhabitants in decision-making processes. It is related to the social dialogue both inside and outside the community with experts and planners;
  - Awareness: This sub-factor is related to the awareness and understanding of society about sustainability and the particular policy in the case study.
- The Economic system refers to the economic activities and their characteristics inside the case-study area. It deals with the level of diversity of sectors, the level of uncertainty in relation to prices or profits, as well as the structure of economic activities by means of the size of the economic activity and its proprietorship.
  - Economic diversity: This concerns the number of different economic activities in the case-study area. Even though the case-study area can be focussed on one single sector, other sectors will also be evaluated in relation to economic diversity;
  - Uncertainty: This factor refers to the possible impacts of unexpected economic shifts, e.g. economic crisis, price changes.
- The Ecological system is related to both the quality and the quantity of natural environments/ ecosystems of the case-study area, as well as the effect of environmental impacts addressed in the case studies. The sub-factors are:



- Ecological environment: This sub-factor reflects the quality and quantity (the state) of flora and fauna of the case-study area. Depending on the case study, it may also include parts of the ecological environment which are of interest, e.g. forestry or agriculture;
- Environmental impacts: This includes factors that enhance or mitigate environmental impacts. Different indicators are possible to assess the environmental impact, e.g. energy consumption, etc.
- The Institutional system represents the quality of administrative and management issues related to the case studies, including quality of political decisions and policy implementation. The sub-factors consist of:
  - Governance structures: This refers to the basic quality of governance structures, related to the interaction between different governmental and institutional stakeholders who influence decisions, the efficiency of the decision-making processes, and also influence how well these decisions are implemented and managed in the case-study area;
  - Integration: This refers to the degree of connectivity and coordination between different policies (and policy makers);
  - Continuity: This refers to the continuity of policies, policy measures and governments.

In the following section, we offer a brief summary of analytical evaluation tools, while focusing on the SMILE toolkit. In addition, we also introduce the critical factors to assess the usefulness of analytical tools for sustainable futures.

### **3 ANALYTICAL TOOLS FOR SUSTAINABLE FUTURES: SMILE TOOLKIT AND ITS USEFULLNESS FACTORS**

Investigating a system's performance is by itself a very difficult task, due to the complexity of the problems that are always involved. Adoption of a simplified model is certainly a way to address part of the problem, but this very often leaves another part unsolved. In addition, many investigators run the risk of neglecting the complexity of the problem and take their model as a pseudo-reality. As a consequence, they assign a value to a process or product according to the results of their simplified or stylized investigation. The outcome of this evaluation process is then often used in other subsequent evaluations and translated into economic and policy actions. In doing so, the complexity may get lost: reality does not fit the model and the planned policy fails or is inadequate. For this reason, policies must take indirect effects into account. It is therefore, of paramount

importance that a multi-method and multi-scale approach is used when investigating complex systems. Quantifying direct and indirect flows provides a way to measure progress and trends as well as to evaluate if and to what extent a given policy action is successful from the perspective of increased sustainability. Understanding how a given behaviour or policy is likely to affect surrounding territories and ecosystems may provide a way to mitigate, prevent or compensate adverse effects on the supporting environment.

The ultimate goal of any investigation of a process is to generate a clear picture of the crucial steps, as well as of crucial input and output flows, i.e. those steps and those flows that affect more strongly the process performance. It is possible to focus on these steps and flows, to understand how important they are in the global economy and to suggest changes capable of leading to an improved performance. Some steps may be replaced by alternative patterns, some flows may be decreased by means of a more efficient machinery or sub-processes, and finally some flows may simply be avoided without any important consequence for the final product. Indicators are the result of a calculation procedure where the relevant data are multiplied by intensity factors that are specific for each given method (e.g. oil equivalent factors, transformity, global warming potential, etc). Therefore, when a performance indicator (e.g., the Acidification Potential) is not satisfactory, the analyst goes back to the calculation procedure in order to identify the input items that are responsible for the largest contributions to that impact category and may suggest to decrease their effect by applying more accurate use patterns and technological improvement to the process that delivers a given input (e.g., more efficient production of chemical fertilizers by the chemical industry or electricity by power plants). After the suggested changes have been implemented (or their adoption has been stimulated) in the process, the analyst will recalculate the indicator under consideration and will assess the extent of the performance improvement. Nonetheless, it is very likely that the suggested change affects other impact categories and, due to the reliance on the same set of input data, the improvement in one category might translate into a worse performance in another category (e.g. fuel de-sulphurization – while improving the emissions risk – requires an additional technological process and increased energy input and generates additional waste to dispose of).

Quantifying direct and indirect flows of matter and energy to and from a system permits the construction of a detailed picture of the process itself as well as of its relationship with the surrounding environment. Processing these data in order to calculate performance indicators and material and energetic intensities makes it possible to compare the process output to other products

of competing processes. Results may differ depending on the goal, the boundaries, the time scale and the technology and may suggest different optimization procedures. If the analyst is able to provide comprehensive results as well as to explain divergences at the appropriate scales of the investigation, a process can be more easily understood. Conclusions are also reinforced and are more likely to be acceptable for research, application and policy strategies.

Assessing a process performance on different scales offers an effective way to refine the analysis and improve the process. Results from the simultaneous application of a multiple set of methods may yield more consistent and comparable performance indicators and this may call for a two-fold optimization pattern:

1. Upstream: trying to decrease the use of or replace those input flows which more heavily affect the material, energy and environmental support demands;
2. Downstream: trying to decrease the use or avoid the misuse of the investigated product, in order to negatively affect the input demand by controlling the end of the life cycle chain.

It is particularly noteworthy that:

- Several quantitative inputs are affected by significant uncertainty;
- Other factors (e.g. the assessment of Intensity factors) may change over time as a consequence of production choices or technological improvement;
- Many flows and results may be correlated to each other, implying the risk of non-linearity and feedback effects, which can significantly alter the results of the quantitative assessment.

On the basis of the above concerns about investigating a systemic process like sustainable development, a toolkit, the so-called SMILE toolkit developed within an earlier undertaken project coined DECOIN, was extended and further implemented in the SMILE project, leading to the SMILE toolkit. The toolkit is designed to generate effective multi-purpose grammars to be used for representing and studying “sustainability issues” in an integrated manner, across different dimensions and scales of analysis. The toolkit has to be adapted, case by case, to the specific characteristics of the sustainability problem to be tackled. It is obvious that not just a single protocol (‘one size fits all’) can be used. The application of the toolkit (which type of approach to use and for which purpose) has to be tailored both on: (i) the specific goal of each case study; and (ii) the specific characteristics of the system investigated.

The SMILE toolkit aims at helping the EU and its Member States to better observe trends in relation to different dimensions of sustainability. Within the SMILE project, the toolkit is applied to a selection of case-studies that are society dominated complex systems (environmental, agricultural, industrial, whole economies) in order to test the potential of the toolkit for a multidimensional assessment of the system's dynamics and its sustainability. The case-studies that are the subject to our research are very diverse in terms of their sustainability issues, aims, stakeholders and scales. This is summarized in

Table 1 to show better the complexity and diversity of our sample of five cases in five different countries.

**Table 1 Summary of the case-studies**

Case	Aim	Scale	Sustainability Aspects		
			Social	Ecological	Economic
Finland	Forest ecosystem	National	No stakeholder involvement	Quality and well-being of ecosystems	To increase productivity and labour intensity of the forest sector
Italy	Agriculture sector	Local; Regional; National	Individual farms; Inclusion of stakeholders at different scales	Analysis of the amount and the quality of resources; Environmental impact; Analysis of decomposition equations for CO <sub>2</sub> emissions and the non-renewable emergency fraction	To enable policy makers to provide some incentives; To be able to collaborate with the local market operators
Romania	Energy sector	National	Issue-related ministries; Households; Action groups; Local authorities; Companies	The environmental impact of different energy consumptions.	To reveal the gaps between the Romanian economy and the economy of other EU member states
Scotland	Cairngorms National Park (CNP)	Regional	CNP Authority; National stakeholders; Regional stakeholders; Local stakeholders	Landscape: Built and Historic Environment; Biodiversity; Geodiversity; Sustainable Use of Resources; Energy; Water; Air	To make tourism and businesses more sustainable To make housing more affordable and sustainable
Spain	Toolkit		No specific operational information on sustainability is available.		

The case-studies in our sample have several similarities; the main similarity is that their general approach is sustainability-oriented. The sustainability issues are mainly based on ecological and economic aspects of sustainability. Except for the Spanish case-study, all case-studies are sectorally focused. The Spanish case-study is the most distinctive one among the case-studies. It deals with the toolkit itself and not with a specific aspect of sustainability. Instead, it is very useful in providing the relation of the output of the toolkit with sustainability issues. The case-studies have several scales. Some deal with the national scale, while there are also case-studies focusing on local or regional scales. Within the Spanish and Finnish case-studies, stakeholders are not involved in the analysis process while the output of both cases is useful for many stakeholders.

The key element in the toolkit is the integration of three evaluation frameworks into one multi-criteria, multi-scale and versatile prototype framework for the assessment of complex systems. The Advanced Sustainability Analysis (ASA), the Multi-Scale Integrated Analysis of Societal and Ecosystem Metabolism (MUSIASEM) and the Sustainability Multi-method Multi-scale Assessment (SUMMA) approaches are integrated into a tool, which is easy to use and provides reporting features that are required for monitoring and policy making. The separate tools are described below.

**ASA<sup>2</sup>:** Advanced Sustainability Analysis (ASA) is a mathematical information system developed by Finland Futures Research Centre (see e.g. Malaska et al, 1999; Kaivo-oja et al, 2001a; 2001b; Vehmas et al, 2003; Luukkanen et al, 2005; Vehmas, 2009). It can be used to analyze sustainable development from different points of view. ASA analysis can provide quantitative information on the changes and reasons for change of quantitative sustainability indicators from various dimensions of sustainability. What is required is quantitative time-series data on the explained sustainability indicators and other related indicators that form the factors into which the changes in explained sustainability indicators can be subdivided, or decomposed. This requires, in turn an understanding of the explained sustainability indicators and forces relevant to its change. If the quantified data is available, the ASA method is very flexible and can quantify the contributions of factors of change in sustainability indicators in all relevant fields (e.g., physical, social, economic, ecological, and institutional). Obviously, the challenge is, firstly, the availability of quantitative time-series data on the sustainability indicators and the relevant other variables constructing the contributing factors, and secondly, forming the ASA decomposition equation with sensible interpretations from the

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<sup>2</sup> Ibid.

available indicator data. In order to improve the usability and value of the toolkit, a lot of attention should be given to the quality of the time series selected.

**MUSIASSEM**<sup>3</sup>: The MuSIASEM approach (originally proposed as MSIASM by Giampietro and Mayumi, 2000a; 2000b; Giampietro 2003a) has been developed in relation to the emerging field of science for governance. In particular it can be seen as an attempt to generate a methodological approach capable of providing a quality control on quantitative analyses applied to the issue of sustainability. It is based on the seminal idea of “bioeconomics” put forward by Georgescu-Roegen (Mayumi, 2001) and on the conceptual tool of multi-purpose grammar proposed within complex systems theory as a key ingredient for the possibility of getting informed autocatalytic loop (autopiesis) by Kauffman (1993). MuSIASEM can be used to check the robustness and the relevance of models, datasets, and forecasting. It achieves this result by verifying the congruence of the chosen integrated representation of parts and the whole across scales in relation to the set of constraints implied by the different dimensions of analysis (referred to as the Sudoku effect). That is, it can integrate biophysical, economic, social, demographic and land-use analyses across different hierarchical levels and scales. This integration makes it possible to check the coherence of quantitative characterizations of scenarios across non-equivalent descriptive domains.

**SUMMA**<sup>4</sup>: The comprehensive evaluation method SUMMA (Sustainability MultimethodMultiscale Assessment) is used as a support for decision-making. In SUMMA, the different (upstream and downstream) perspectives are not forced to be combined, but retain their full wealth of information, on the basis of which wise decisions can be made, also taking into account important external factors such as social and economic welfare. SUMMA is based on a selection of upstream and downstream methods, which offer complementary points of view on the complex issue of environmental impact and performance assessment.

Since SUMMA (as Life Cycle Analysis (LCA) in general) is based on a single common inventory (LCI) of all the system’s inputs and outputs, a systematic sensitivity analysis can be simultaneously performed on all calculated data and indicators. In the present study we created in our spreadsheet-based calculation procedure a set of variable cells to which it is possible to assign percentage variations to all input quantities as well as to the values of associated characterization coefficients (intensity factors). Such a procedure is very valuable in order to estimate the actual reliability of the impact assessment itself, accounting for the inevitable uncertainties and variability in the input data

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<sup>3</sup> This is retrieved from the SMILE deliverable D3.

<sup>4</sup> This is retrieved from the Smile deliverable D4 Demonstration - example for each of the DECOIN tools.

and/or intensity factors, as well as to single out the most critical key points of the analyzed process, in the light of different assessment methods.

One of the potential uses of the sensitivity analysis applied to the LCA/SUMMA approach is to provide informed advice for governance (to policy makers, managers, institutions) by highlighting different scenarios of the investigated systems as a consequence of policy actions. Changes calculated or foreseen for performance indicators only tell what would happen to the performance if input flows change for any reason. They do not indicate the economic and social constraints in which the system operates, nor do they systematically assess the reasons, the drivers of the occurred or foreseen performance drop (or improvement). The time series related to the system's behaviour in the past or the series constructed based on assumptions (e.g. assuming that fuel efficiency improves by 2% every year) are then processed by the MUSIASSEM approach (second step of the toolkit) in order to detect the social and economic constraints (e.g. how a given solution affects the individual income or the fraction of working population); then, time series of input flows and performance indicators are also processed by ASA, in order to decompose the performance into decomposition ratios, each indicating a driver of the change (e.g. labour intensity, energy productivity, etc). In so doing, after calculating past and future performance indicators according to a number of biophysical criteria and methods, the feasibility of solutions from an economic and social point of view is assessed (MUSIASSEM) and the main drivers are identified (in particular, the nature of these drivers in the past and the way they should be characterized in order to reach a planned performance in the future.

As a consequence of the sequential application of SUMMA, MUSIASSEM and ASA (the DECOIN toolkit), policy making is provided with a series of performance indicators, their evolution over time, their improvement potential based on higher individual or technological efficiency, socio-economic constraints to planned actions and finally drivers of change based on decomposition analysis, interlinkages and synergies.

The SMILE toolkit was designed and formulated to test and highlight the pros and cons of an innovative procedure capable of generating multi-scale indicators (embracing the three approaches of the toolkit). This procedure, when fully developed, should later on be used to tailor the representation of the sustainability predicament “à la carte” on the issue definition given by social actors.



## 4 THE USEFULNESS OF THE ANALYSIS TOOLS TO SUSTAINABLE FUTURES

### 4.1 Approach and Methodology

We will investigate in this section the usefulness of the SMILE toolkit. To reach our aim, we present a ‘usefulness method’, that uses critical factors of sustainable development when determining the usefulness of the toolkit using an outranking method. It is basically an impact structure matrix, which reflects the impacts of policy measures (Nijkamp, 1983). During our evaluation, we employ the success and failure factors of the toolkit and the sustainability pentagon factors.

In general terms, our consortium SMILE addresses the interfaces between scientific achievements in sustainability analysis and the various user categories and interest groups that are either involved in sustainable development or that are interested or involved in the development of SMILE toolkit. To assess the usefulness of the toolkit, we conducted interviews among experts who somehow experienced the SMILE toolkit. Altogether, 11 experts from different case-studies participated in our research in March 2010. The collected data is processed in four steps by the use of the impact matrix methodology. These four steps are:

**Step 1 – Definition of critical factors:** During this step, the critical factors of sustainable development and the critical factors related to the use of the toolkit are defined. These factors are used as the criteria to formulate the impact matrix (see Subsection 4.2).

**Step 2 – Ranking of sustainability factors:** secondly we calculate the ranking of factors of sustainability and of the toolkit separately and ranked them without taking into account any causal relations (see Subsection 4.3).

**Step 3 – Impact matrix:** The third step is related to the formulation of the impact matrix. During this step, first we define the consistent relations between the factors of sustainable development and of the toolkit. Later, we score these relations and calculate their weights (see Subsection 4.4).

**Step 4 – Assessment:** The fourth and the last step is to evaluate our findings and to assess the usefulness of our toolkit (see Subsection 4.5).

### 4.2 Critical Factors of Analytical Tools

The critical factors of sustainable development are given in the previous sections in details. Therefore, in this sub-section we provide only the critical factors of the toolkit. While evaluating



the critical factors for the toolkit, a questionnaire applied in each of the case-study was very useful and guided us. The aim was basically to gather the opinion of stakeholders on whether the outcome of the toolkit represents a useful and interesting input for a discussion among stakeholders within the policy arena and on the applicability and advantages of such a toolkit. Our findings are:

- the results – and to understand the results – are very important for stakeholders to be involved in the decision making process;
- there is a need to reflect without oversimplifying the complexity of systems, and hence the composition of the data is important.

On the basis of the above mentioned research and the opinion of the toolkit users, in order to assess the usefulness of the toolkit, the five success and failure factors and their sub-factors are:

- **Data Requirements:** This factor refers to the data and resources needed for the application of the SMILE toolkit in order to obtain reliable assessments of the scientific output.
  - Reliability: The reliability of the data
  - Availability: The availability of reliable data
  - Access: Access to reliable data by the researchers/users
  - Generation: Possibilities for data generation when information is missing
  - Hidden data: The hidden data related to the informal economy etc.
- **Output:** This relates to the output provided as the result of the methods of the toolkit. Its sub-factors are:
  - Visual: This reflects to the visual output such as tables, graphs, diagrams, histograms and figures, etc.
  - Numerical: This reflects to the output, such as scores, percentages, rankings, etc.
- **Support System:** This factor refers to the contribution of administrative units to help and assist direct and indirect users of the toolkit and to increase their understanding of the toolkit.
  - Perception: This refers to the perception of the supporting administrative units and their (initial) positive or negative thoughts about the toolkit.
  - Experience: This refers to the contribution of administrative units to assist the users to experience the toolkit.
  - Collaboration: This means the contribution of administrative units to ease the access to their data and to apply the results.
- **Users:** This factor refers to the direct and indirect users and their attitude towards the toolkit. Therefore, its decomposition is:

- Awareness: This refers to the awareness of possible users about the toolkit and the usefulness/benefits of the toolkit, the knowledge of possible users and their understanding of the toolkit.
- Demand: This refers to the existence of demand for the output/results of the toolkit by the users.
- Expectations: This deals with the expectations of users from the toolkit.
- Willingness: This is the willingness of users to understand and use the toolkit.
- Networks: This means the networks of users which will help to the spread of the toolkit.
- Technology: This factor refers to the technology of the toolkit itself and also to technologies required to use the toolkit. Its decomposition is:
  - Software language: The language of the toolkit is very important to use the toolkit. The possible users may prefer to use the toolkit in their maternal language. Therefore, the language of the toolkit can have a critical role.
  - Specifications: This refers to the technological needs and infrastructure required for the use of the toolkit.

In the following sub-section, we rank the critical factors of the toolkit and sustainable development while weighting each critical factor.

### 4.3 Ranking of Sustainability Factors

Our assessment by means of the toolkit consists of critical factors as defined above. But, before constructing the impact matrix, first we calculate the ranking and scores of the factors of sustainable development and the toolkit separately from the perspective of scientific users of the toolkit. This calculation is the second step of our evaluation.

The results of the scoring and ranking process show that experts rank the sustainability systems as: ecological system, institutional system, social system, physical system and economic system respectively (Table 2). In addition, the ranking of the toolkit is output, data, users, support and technology, respectively (Table 2). The scores range between 0 and 5 and they are calculated as the average of the total scores of all stakeholders.

**Table 2 Scores and ranking of critical factors**

<i>Sustainability factors</i>	<i>Score</i>	<i>Ranking</i>	<i>Toolkit factors</i>	<i>Score</i>	<i>Ranking</i>
<b>Physical system</b>	3.6	4	<b>Data</b>	4.0	2
<b>Social system</b>	3.6	3	<b>Support</b>	3.3	4

<b>Economic system</b>	3.2	5	<b>Output</b>	4.3	1
<b>Ecological system</b>	4.5	1	<b>Users</b>	3.5	3
<b>Institutional system</b>	3.9	2	<b>Technology</b>	3.0	5

The critical nature of a factor depends on the criticality of its decomposition. This means that the weights are the clarification of the criticality of factors compared with each other (Akgün et al., 2011). Therefore, the two types of weights allow us to better understand whether the defined factors are seen as robustly critical from the point of view of different experts. Although, we have calculated an equally-weighted (EW) and weighted (W) scale based on the interviews, the results show that the rankings are very robust as both types of ranking are the same. The results show the robustness of our analysis and the criticality ranking of the factors, and therefore, we omitted the weighted scores in our analysis.

#### 4.4 Specification of the Impact Matrix

An impact matrix is a summary of the impacts of issues on each other in a tabular form. In our case, the columns represent the factors of the toolkit while the rows represent the sustainable development factors (Table 3). Scores are only calculated for the consistent causal relationships which are mentioned in Table 4 and obtained from the interviews.

**Table 3**The impact matrix of toolkit factors by sustainability factors

	Score				
	Data	Support	Output	Users	Technology
<b>Physical</b>	3.55			2.95	2.90
<b>Social</b>	3.70	3.75		3.75	3.20
<b>Economic</b>	2.95			3.05	
<b>Ecological</b>	4.00			3.75	
<b>Institutional</b>	3.55	3.40		3.35	
	Weight				
<b>Physical</b>	0.13			0.02	0.05
<b>Social</b>	0.15	0.10		0.16	0.10
<b>Economic</b>	0.05			0.04	
<b>Ecological</b>	0.25			0.10	
<b>Institutional</b>	0.05	0.06		0.05	

**Table 4 Consistent causal relations of sustainability and toolkit sub-factors**

<i><b>Sustainability</b></i>	<i><b>Toolkit sub-factors</b></i>
<b>Physical</b>	
Built-Environment	Reliability (Data); Demand (Users)
Technology	Reliability (Data); Demand (Users); Willingness (Users); Networks (Users); Software Language (Technology)
Infrastructure	Reliability (Data); Demand (Users); Willingness (Users); Networks (Users); Software Language (Technology)
Accessibility	Reliability (Data)
<b>Social</b>	
Social Capital	Reliability (Data); Perception (Support); Awareness (Users); Demand (Users); Willingness (Users); Networks (Users); Software Language (Technology)
Openness	Reliability (Data); Perception (Support); Awareness (Users); Demand (Users); Willingness (Users); Networks (Users); Software Language (Technology)
Participation	Reliability (Data); Demand (Users); Willingness (Users); Networks (Users)
Awareness	Reliability (Data); Demand (Users)
<b>Economic</b>	
Economic Diversity	Willingness (Users)
Uncertainty	Reliability (Data); Demand (Users); Willingness (Users); Networks (Users)
<b>Ecological</b>	
Ecoquantity	Reliability (Data); Demand (Users)
Ecoimpact	Reliability (Data); Demand (Users)
<b>Institutional</b>	
Governance	Reliability (Data); Perception (Support); Experience (Support); Collaboration (Support); Demand (Users)
Integration	Perception (Support); Experience (Support); Collaboration (Support); Demand (Users)
Continuity	Reliability (Data); Perception (Support); Experience (Support); Collaboration (Support)

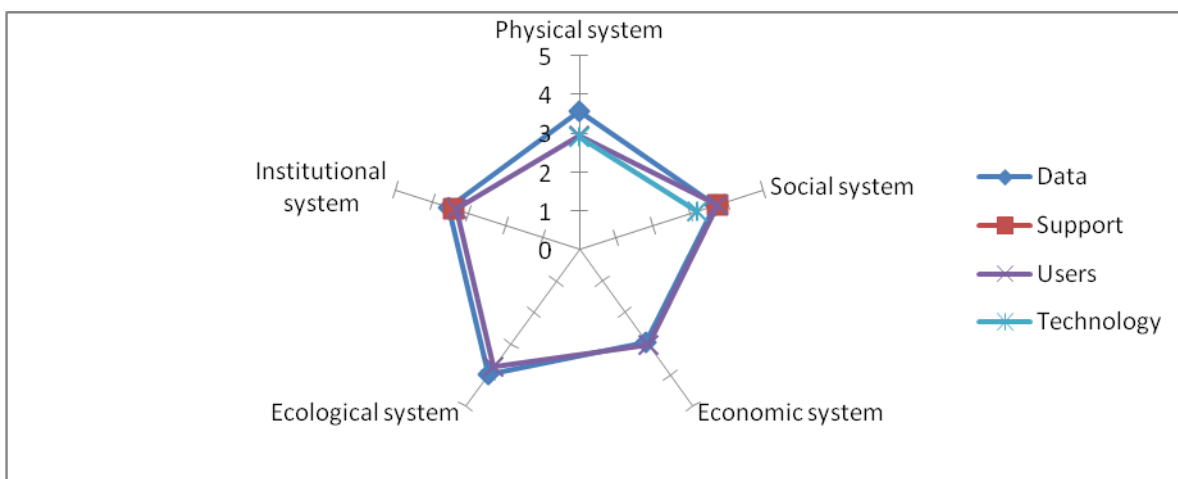
The causal relations are identified in relation to the toolkit and its requirements. There are 272 possible combinations between sustainability and toolkit sub-factors. However, the meaningful causal relations are only 55 of them. The meaningful causal relations are shown in Table 4. As can be seen from the table, not each sustainability sub-factor and toolkit sub-factor is represented in the consistent causal relations.

At a first glance, even though we cannot show a consistent causal relation, the toolkit is very effective for sustainable development. As mentioned earlier, the toolkit is valid and very useful for environmental experts. We see this also in our assessment as the highest contribution in terms of data reliability and the user demand of the toolkit is to the ecological systems.

#### 4.5 Assessment

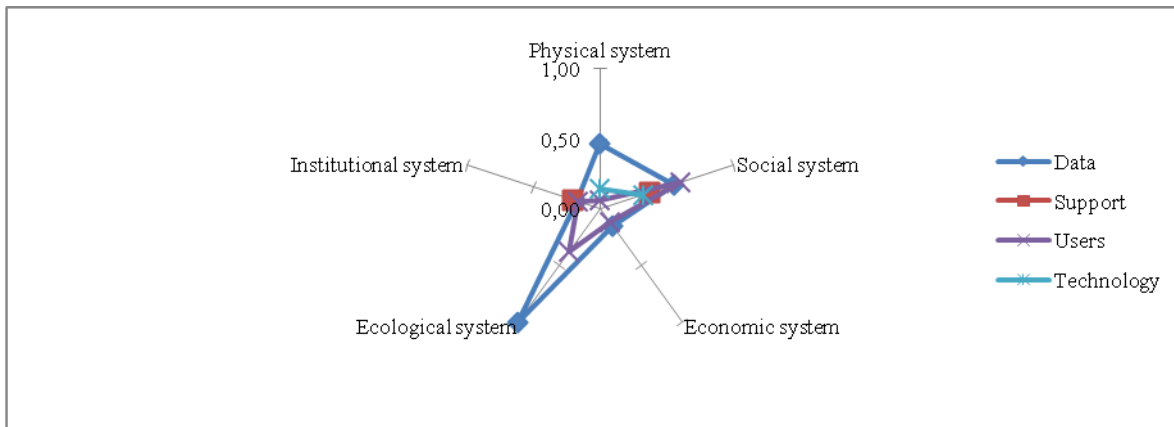
We can state that the SMILE toolkit has an indirect positive effect on sustainable development. Below we offer the assessment of the usefulness of the SMILE toolkit for sustainable development. To understand better the assessment of the impact matrix and the impact of the toolkit on the sustainable development, we visualized our results by spider diagrams based on the above mentioned pentagon approach. In the diagrams we have omitted the output factor, as this does not have a direct consistent causal relationship. But, early research have proven the criticality of the output in order to explain the results to the different types of stakeholders and to show the real usefulness of the analytical tools.

According to the equally weighted scores shown in Figure 1, we can easily see that the causal relations are very effective for each component of the sustainable development. All toolkit factors have an impact on the ecological system first. The main contribution and usefulness of the toolkit is the assesment of the ecological system. Changes in the ecological system are difficult to investigate and to predict. In addition, among the toolkit factors, users and data contribute to the evaluation of the economic system. However, the contribution of the toolkit to the economic system is smaller than its contribution to the assesment of other sustainability factors.



**Figure 1 Assessment of the impact matrix - Equally weighted scores of consistent relations**

In order to test the robustness of our impact matrix, we also evaluated the impact matrix with the weighted factors (Figure 2). The results of the impact matrix by weighted scores show that our analysis is robust, as the ranking of the sustainability factors by the toolkit remains the same in terms of consistent causal relations. In other words, the main contribution of the toolkit is the assessment of the ecological system, followed by social systems. In addition, our analysis is sensitive in terms of its contribution to the economic system.



**Figure 2 Assessment of the impact matrix – Weighted scores consistent relations**

The results show that the contribution of the toolkit to improve our insight into sustainable development and policy implications is obviously important in terms of non-economic issues. Moreover, the results also demonstrate that the impact of the toolkit on the economic system depends on the users and the way they use the toolkit.

## 5 CONCLUSION

The pluriformity and multiplicity of sustainable development leads to complex systems that are difficult to overcome. Thus, integrated approaches need to better understand sustainable development and to better deal with uncertain futures. Therefore, the SMILE toolkit is one of the successful analytical toolkits developed for sustainability analysis. In this paper, we stress the usefulness of the toolkit, but meanwhile we also want to show the importance of the critical properties of the toolkit.

Both the toolkit and the results of the toolkit impact matrix have shown the usefulness of the toolkit to obtain fresh insights for sustainable development. Although the toolkit is successful, more improvement is needed to increase the usage of the toolkit for a wider group of users. In other words, although the toolkit is successful in dealing with complex systems, the most important aspect that should be improved to make them useful for different groups of stakeholders is to

present the output as understandable and accessible as possible. Therefore, toolkit developers should pay as much attention to the input as to the output of the toolkit.

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